

State Strategic Business Plan

INTRODUCTION

Blueprint for Change is the state's plan for reforming the mh/dd/sas system. This technical document, the State Strategic Business Plan, is part 2 of the State Plan and outlines the responsibilities and tasks of the Division of MH/DD/SAS that are required to implement the reform. The strategic plan incorporates the mission and principles of the State Plan in its processes and outcomes, which is also required of local business plans.

The State Strategic Business Plan incorporates both the task list and the state business implementation plan from the initial November 30, 2001 edition of the *Blueprint for Change*. It is now designed to be consistent with the local business plan format to demonstrate the dynamic processes necessary to implement reform. Goals and objectives must be achieved in concordant areas at both the state and local levels for the vision to become a reality.

I. PLANNING

Planning is an essential component of the mental health, developmental disability and substance abuse service system reform effort. Initially, planning at the state level will cover a wide array of activities that are necessary in the transition from the old to the new. The Division must establish both short and long-term planning strategies that are both collaborative across the state system and coordinative with LMEs and providers. These strategies must direct the transition by clearly articulating through its tasks, strategies, outcomes and products the vision of the new system.

Contemporary support service systems affirm the principles of community inclusion, integration, participation and accommodation. These systems recognize that children and adults with serious mental illness, developmental disabilities and substance use disorders have certain attributes, impairments, limitations or circumstances that constrain their functional capabilities, personal autonomy, life choices and achievement opportunities. To reduce or minimize these constraints, state government along with local entities managing public policy are expected to *plan* to provide treatment, interventions, services, supports and accommodations that:

- Maximize community alternatives to more restrictive care.
- Involve individuals in the system of governance.
- Address cultural diversity in service planning and care decisions.
- Promote participatory choice wherever possible.
- Seek support arrangements that facilitate independence, personal responsibility and involvement in community life and promote wellness.

Consumer and family participation on governing boards may already be significant in the current system. However, progressive organizations in the current environment are expected to go beyond the current level of participation and directly seek out stakeholder input and community concerns. The Division of MH/DD/SAS is responsible for planning and enforcing a system that obtains, assimilates, applies and implements stakeholder recommendations into all planning activities.

A. The Division will implement a long term planning strategy.			
Objective	Task/Strategy	Outcome/Product	Completion Date
I.A-1 The Division will oversee the mh/dd/sas reform effort.	a) Assess the impact of State Plan implementation on reform.	Report of the assessment provided by the Director's Advisory Committee and added to the annual revision of the State Plan.	April 15, 2003 and annually thereafter
	b) Identify gaps and needed changes in State Plan.		
	c) Conduct an annual 45-day public comment period on State Plan requirements and implementation.	Analysis of public comments, including those received at forums, added to annual revisions.	Public comment period: Feb.– March 2003–2007 Forums held in fall & spring of each year
	d) Hold two community forums annually to assess implementation and solicit comments and recommendation for change.	A revised mh/dd/sas State Plan submitted to Legislative Oversight Committee (LOC).	A revised State Plan presented to LOC July 1, 2003 –2007
I.A-2 The Division will ensure ongoing	a) Assign tasks from State Strategic Business Plan to committees, workgroups	Division publishes a quarterly tracking report of outcomes/products	Oct. 1, Jan. 1, April 1 & July 1, 2003-2007

implementation of the State Plan.	<p>and/or sections.</p> <p>b) Review products for consistency with State Plan mission and principles.</p> <p>c) Assess progress of State Plan implementation.</p> <p>d) Solicit assessment feedback from the Director's Advisory Committee quarterly. [See II.B-1.]</p>	accomplished and reports to LOC.	
<p>I.A-3</p> <p>The Division will ensure that all planning is done in collaboration with all stakeholders.</p>	<p>a) Publish list of stakeholders involved in all ongoing planning/ implementation activities.</p> <p>b) Establish guidelines to ensure consumer involvement and/or participation.</p> <p>c) Establish methods of gathering feedback from consumers and families and other stakeholders.</p> <p>d) Develop mechanisms that support meaningful and ongoing involvement of consumers/families in all sub-plans required by this strategic plan.</p>	<p>List of stakeholders involved in planning process included in each sub-plan and annual revision of State Plan submitted to the LOC.</p> <p>Director's Advisory Committee assesses the Division's progress in obtaining meaningful involvement of consumers and families in planning activities and presents report to the LOC annually.</p>	<p>Oct. 1, Jan. 1, April 1 & July 1, 2003-2007</p> <p>A revised State Plan presented to LOC July 1, 2003 –2007</p>
<p>B. The Division will oversee the transition from the existing system to a reformed system consistent with the vision in the State Plan.</p>			
Objective	Task/Strategy	Outcome/Product	Completion Date
<p>I.B-1</p> <p>The Division will oversee a state-level transition strategy to assist the reform.</p>	<p>a) Establish new roles and responsibilities of Division to provide leadership and state policy development.</p> <p>b) Identify functions necessary to carry out new roles and design a framework to enable Division to perform its new functions.</p> <p>c) Identify competencies and sets of skills necessary for staff to carry out new responsibilities.</p> <p>d) Create and implement staff development plan to assist staff in obtaining new skills and competencies.</p> <p>e) Develop tracking system to identify reform milestones and uncover barriers or</p>	<p>Transition strategy outlined and an assessment of progress included in quarterly progress reports to LOC.</p> <p>Transition reports put on web site.</p>	<p>Oct. 1, Jan. 1, April 1 & July 1, 2003-2007</p> <p>Oct. 1, Jan. 1, April 1 & July 1, 2003-2007</p>

	<p>obstacles to reform.</p> <p>f) Initiate and engage in constructive problem-solving activities to overcome barriers.</p> <p>g) Report on transition activities as one component of State Plan implementation.</p>		
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II. MANAGEMENT AND ADMINISTRATION

The reform statute (North Carolina Mental Health, Developmental Disabilities and Substance Abuse Reform Statute, Chapter 122C) mandates that the state provide management and oversight of a system of services and supports that is equitable across the state and provides for greater accountability and value for the dollars spent. The Division of MH/DD/SAS is responsible for providing the necessary tools and assistance to enable local management entities to administer a local system of services and supports that conforms to standards of best practice.

A. The Division of MH/DD/SAS will be restructured to support mh/dd/sas reform.			
Objective	Task/Strategy	Outcome/Product	Completion Date
II.A-1 The Division will undergo a reorganization to support the mh/dd/sas State Plan.	a) Prepare a new organizational structure within the Division.	The Secretary of DHHS announces an organizational chart of the new Division structure.	July 1, 2002
B. The Division will develop mechanisms to ensure consumer/family and citizen involvement in policy formulation and implementation.			
Objective	Task/Strategy	Outcome/Product	Completion Date
II.B-1 Division staff will organize and support the Director's Advisory Committee on implementation of mh/dd/sas reform.	a) Develop a proposal for convening the Director's Advisory Committee with approval by the Secretary that addresses: <ul style="list-style-type: none"> • Committee make up. • Member selection process. • Committee purpose and work-plan. • Times, dates and places of meetings. • Support to consumer/family members to ensure meaningful participation. • The committee's reporting process. 	The Secretary receives and approves the proposal.	September 1, 2002
	b) Establish a working relationship between the Division's implementation process and the processes of the Director's Advisory Committee so committee members are informed and empowered in their role of assessing and advising on implementation.	<p>The Director's Advisory Committee convenes.</p> <p>Quarterly progress reports provided to the Secretary and added to Division reports. See above.</p> <p>Members assigned to various workgroups and implementation teams and supported in their participation.</p>	<p>On or before Nov. 1, 2002</p> <p>Jan. 1, 2003 and quarterly thereafter</p> <p>Jan. 1, 2003 and ongoing</p>

II.B-2 The Division will create an Office of Advocacy & Customer Services.	<p>a) Establish office as part of re-organization. See above.</p> <p>b) Prepare job descriptions and qualifications for approval by Office of State Personnel.</p> <p>c) Implement specific recruitment procedures to ensure that qualified consumers/family members are available in the applicant pool.</p>	The Office of Advocacy & Customer Services staffed by consumer and family members and participates at the Division of MH/DD/SAS executive staff level.	Jan. 1, 2003
II.B-3 The Division will sponsor an annual consumer conference and other conferences as approved by the Director.	<p>a) Plan and hold an annual consumer conference with the Office of Advocacy & Customer Services as lead agency in determining/arranging for:</p> <ul style="list-style-type: none"> • Most appropriate time, date and place. • The agenda and speakers. • Appropriate supports for consumer/family member attendees. <p>b) Assess viability of all conferences sponsored by the Division and consolidate as appropriate.</p>	<p>A consumer conference held annually.</p> <p>Schedule of Division sponsored conferences approved by the Director and published in the Division training calendar online.</p>	<p>2003 and annually thereafter</p> <p>Jan. 1, 2003</p>
II.B-4 The Division will provide guidance and oversight of meaningful participation/ involvement by consumers/families at the local policy level.	<p>a) Disseminate guidelines for consumer involvement and/or participation to prospective LMEs. [See I.A-3 (b).]</p> <p>b) Review local business plans for adherence to guidelines.</p> <p>c) Include appointment of consumers/family members to boards, commissions, advisory bodies, planning groups, etc. by LMEs as a performance indicator for public reporting.</p>	<p>Consumer/family guidelines disseminated and added to LOC quarterly report.</p> <p>Local consumer and family advisory committees submit reports with local business plan final submission.</p>	<p>Oct. 1, 2002</p> <p>April 1, 2003</p>

<p>II.B-5 The Division will assure appointment of consumers/family members to state-level boards, commissions, advisory bodies, planning groups and other appropriate bodies.</p>	a)	Establish a process for recruiting and supporting consumers/family members as participants on boards & commissions.	The Office of Advocacy & Customer Services establishes list of people (self disclosed) with disabilities (mh/dd/sa) willing to participate state boards, commissions, advisory councils and planning/policy workgroups. List kept current and appointments listed in each quarterly report to LOC.	July 1, 2003 and ongoing
	b)	Assign responsibility for implementation and oversight of necessary and effective supports for consumers/family members to ensure ongoing participation and meaningful involvement.		
	c)	Develop a list/database of consumer and family members interested in participating on commissions and boards.	Office of Advocacy & Customer Services reviews and distributes a satisfaction survey to consumers/families on boards/planning groups and to board/workgroup chairs to determine level of satisfaction with participation/involvement.	July 1, 2003
	d)	Collect sufficient information to match potential appointees with work in their areas of interest.		
	e)	Provide liaison with the appointment staff in the Governor's office and all department-level and Council of State offices to promote such appointments.	Findings reported on state report card. [See VII.A-.1 (c).]	Oct. 1, 2004

C. The Division will administer all regulatory functions necessary to implement reform.			
Objective	Task/Strategy	Outcome/Product	Completion Date
<p>II.C-1 The Division will assure that all statutes, rules and policies that are inconsistent with mh/dd/sas reform are identified, amended and/or deleted. In cases where federal and/or state statutes cannot be modified or waived, the Division will assure that mh/dd/sas policy is in compliance.</p>	a) Produce an annual update of the <i>Rules Report</i> contained in <i>State Plan 2001: Blueprint for Change</i> .	Initial departmental report completed.	Oct. 1, 2002
	b) Participate in a departmental process for ongoing statutes/rules review consistent with LOC for MH/DD/SAS subcommittee recommendations.	Department-wide rules review process reported to LOC.	Oct. 15, 2002
		Division personnel participate in Department-wide review of rules and statutes.	Oct. 15, 2002
	c) Assess and modify the process for announcing new and amending existing rules, to expedite mh/dd/sas reform.	Updates to the <i>Rules Report</i> included in annual revision of State Plan presented to LOC.	July 1, 2003
	d) Identify statutes that are inconsistent with mh/dd/sas reform and make recommendations for needed changes.	Rules revision-tracking report added to quarterly reports to LOC, including proposed new rules.	Oct. 1, Jan. 1 & April 1, 2002 – 2007
	e) Initiate rule changes identified as needed for mh/dd/sas reform implementation.	A report of recommended statute changes submitted and tracked semi-annually in progress reports to LOC.	Oct. 1 & April 1, 2002 – 2007
	f) Develop tracking system for rule/statute changes necessary to the reform.		

<p>II.C-2 The Division/ Department will conduct an analysis of the state statutes to ensure congruity with foundations and models of best practice.</p>	<p>a) Collaborate with the DD Council project with the University of Kansas to review NC statutory base.</p> <p>b) Provide training to Division staff in use of computer tools used by the DD Council project for ongoing statutory and rules analysis.</p> <p>c) Collaborate with LOC to promote statutory revisions as recommended by The Beach Center report.</p> <p>d) Collaborate with LOC to implement Human Services Research Institute (HSRI) report recommendation to explicitly embed person-centered principles into state statutes.</p> <p>e) Collaborate with LOC to implement approved MGT report recommendations for incorporating substance abuse and child mental health services into state statute.</p>	<p>DD Council project recommendations submitted to DHHS.</p> <p>Division staff competent in computer tools and assigned to ongoing statute review.</p> <p>Recommendations for statute changes resulting from analysis included in reports to LOC as noted above.</p>	<p>Dec. 1, 2002</p> <p>July 1, 2003</p> <p>February 2003 and ongoing</p>
<p>II.C-3 The Division will create a regulatory and policy framework to facilitate mh/dd/sas reform.</p>	<p>a) Assess current Division policies and regulations for inconsistency with State Plan mission and principles. Specifically address items that create disincentives to reform and use of best practices.</p> <p>b) Establish regulatory framework to address:</p> <ul style="list-style-type: none"> • Standards/certification/licensure for agencies providing non-facility based services. • Standards/certification/licensure regulations/rules for prevention programs. • Policies/regulations governing effective consumer safeguards. [See VI.A-6 (g).] 	<p>Policy/regulation assessment incorporated into <i>Rules Report</i> and revised annually.</p> <p>New policies and regulations adopted and implemented.</p>	<p>July 1, 2003</p> <p>Jan. 1, 2004</p>

D. The Division will implement standardized administrative functions consistent with DHHS policies.			
Objective	Task/Strategy	Outcome/Product	Completion Date
II.D-1 The Division will develop all statewide contracts necessary to implement mh/dd/sas reform and ensure that each is processed expeditiously.	a) Develop solicitation (RFP/RFA/RFI) documents needed to procure a statewide contractor for crisis hotline and referral using specifications established for statewide single access point. [See V.A-2 (a).]	A crisis-hotline and referral system contract executed.	July 1, 2003
		A utilization management contract executed.	July 1, 2003
		Memoranda of agreement (MOA)/contract approved by DHHS.	Dec. 30, 2002
	b) Develop solicitation (RFP/RFA/RFI) documents for procurement of contractor for statewide utilization management (UM) function using criteria and specifications established for UM system. [See IV.D-1 (a – b).]	Direct enrollment agreement approved by DHHS.	April 1, 2003
	c) Develop annual agreement between the Division and the LMEs specifying conditions for funding.		
	d) Create a process and agreement form for statewide direct enrollment of providers into payment system.		

III. LOCAL MANAGEMENT ENTITY DEVELOPMENT

The local management entity (LME) must conform to one of the forms of governance described in the reform statute. Within this governance structure, each LME is required to establish an organizational framework that provides for public policy management and administrative accountability. The Division must oversee the establishment of LMEs and provide statewide standards as well as technical assistance to ensure the viability of a consistent and equitable system across the state. The Division is committed to supporting the development of a viable local public system that will manage a service/support system that is embedded in the mission and principles of the State Plan.

A. The Division will develop mechanisms to support the transition to a system of strong local management entities across the state.			
Objective	Task/Strategy	Outcome/Product	Completion Date
III.A-1 The Division will develop a technical assistance/ communication strategy to assist counties with choosing a method of governance.	a) Provide information and assistance to county managers, county commissioners, area directors and board members.	Letters of intent with choice of local governance and appointment of LME received and reviewed by Division.	Oct. 1, 2002
III.A-2 The Division will ensure that local business plans are submitted in accordance with reform statute and are consistent with State Plan requirements.	a) Revise and disseminate the specifications and criteria for certification of local business plans.	The revised local business plan document included with annual revision of State Plan.	July 1, 2002
	b) Review letters of intent from counties.	Letters of intent from counties indicating phase-in preference received by Division.	Oct. 1, 2002
	c) Review LME information forms.	Local business plans received by Division.	Initial submission Jan. 2, 2003; final submission April 1, 2003
	d) Include document specifications in local business plan for both a readiness review pre-submission site visit and a post-submission verification on-site review.	Verification on-site visits conducted as necessary and results with final scoring submitted to LMEs and to the Secretary. The Secretary certifies LMEs if specifications are met.	Between May 2003 and December 2003 July 1, 2003, Jan. 1, 2004 & July 1, 2004
III.A-3 The Division will provide standardized protocols and documents for use by the LMEs to ensure consistency across the state.	a) Develop a model membership agreement for use by LMEs in establishing qualified provider networks.	Provider enrollment agreements approved by DHHS.	Jan. 1, 2003
	b) Develop a model memorandum of agreement (MOA) for use among	MOA for communities approved by DHHS.	April 1, 2003
		MOA for consumer/family	Oct. 1, 2002

	<p>community agencies and organizations to support performance of core functions and other collaborative efforts.</p> <p>c) Develop a model MOA for use between LMEs and consumer/family advisory committees.</p> <p>d) Develop protocols, standard forms/elements and others as necessary for use by LMEs in collection of outcome data, monitoring of providers and quality improvement activities to be aggregated statewide.</p> <p>e) Develop procedures and reporting forms for use by LMEs in providing for dispute resolution and arbitration with providers, consumers and families.</p>	<p>advisory committees approved by DHHS.</p> <p>Protocols approved and standard forms/elements disseminated ongoing as standards finalized.</p>	<p>Oct. 1 2003 – July 1, 2007</p>
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B. The Division will ensure the consolidation of the local system.			
Objective	Task/Strategy	Outcome/Product	Completion Date
III.B-1 The Division will provide guidance and oversight to ensure that targets and parameters for consolidation in the reform statute are met.	a) Develop a consolidation plan that meets population and geographic size parameters of the reform statute. <ul style="list-style-type: none"> • Upon receipt of LMEs' information forms and local business plans, prepare a report on the status of voluntary consolidation with recommendations for Division/Department action necessary to meet targets. • Implement recommendations of above report, such as county specific, fiscal viability analysis, technical assistance, and/or negotiation with county commissioners. • Prepare a state directed geographic (catchment) area consolidation plan with supporting data and analysis, if necessary. 	A report on voluntary consolidation effort submitted to the Secretary and LOC.	July 1, 2003
		A report on state level activity and the status of consolidation submitted with annual revision of State Plan.	July 1, 2004
		The Secretary's area authority/county program consolidation plan presented to LOC with recommendations for action to meet targets.	Dec. 31, 2004
		Implementation plan to meet targets submitted and approved by LOC.	April 1, 2004
		Total number of LME's reduced to no more than 20.	July 1, 2007
	b) Prepare implementation plan for consolidation for legislative approval.		
	c) Implement legislatively approved activities to complete consolidation.		

C. The Division will provide information and technical assistance to facilitate the transition of the local system.			
Objective	Task/Strategy	Outcome/Product	Completion Date
III.C-1 The Division will develop and oversee training and technical assistance to assist in development of local management entities.	a) Conduct a series of meetings/trainings in preparation for submission of local business plans in collaboration with the County Commissioners Association and the Council of Community Programs.	Schedule of meetings/ events held and topics addressed included in quarterly reports to LOC.	Oct. 1, Jan. 1, April 1 & July 1, 2003-2007
	b) Assign Division staff to work with prospective LMEs across the state.	List of assigned staff and report of technical assistance provided with presenting issues and resolutions incorporated into State Plan quarterly reports.	Oct. 1, Jan. 1, April 1 & July 1, 2003-2007
	c) Provide technical assistance with local business plan as needed.		
III.C-2 The Division will oversee the transition from the current local system to a strong LME public management system.	a) Collaborate with those counties that indicate interest in phasing-in components of the new LME structure (Phase In Group) to guide the transition.	A description of the role, membership and outcomes expected, and a schedule of meetings of the Phase In Group included in quarterly progress reports to LOC.	Oct. 1, 2002 and quarterly thereafter
	b) Convene monthly meetings of the Phase-In-Group (PIG) to explore necessary topics and resolve issues and concerns.	Completed products resulting from this work approved by DHHS and included in State Plan revisions annually.	July 1, 2003 and annually thereafter
	c) Disseminate information about policy and procedural decisions or modifications that result from work with the PIG to all county managers, area programs and other stakeholders.		
	d) Complete and disseminate throughout the state products necessary for implementation (such as reports, forms and data) as identified by this group.		
	e) Develop a mechanism for tracking and reporting ongoing LME transitional issues.		